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PTO/SB/21 (08-00)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/827,076
Filing Date	April 5, 2001
First Named Inventor	EMPEDOCLES, STEPHEN A. ET AL.
Group Art Unit	1645
Examiner Name	Unassigned
Attorney Docket Number	019916004300

Total Number of Pages in This Submission

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers with Recordation Cover Sheet  <input checked="" type="checkbox"/> Drawing(s) - 10 sheets  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input checked="" type="checkbox"/> Power of Attorney  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  ➤ Declaration with Appl. Data Sheet ➤ Statement under 37 CFR 3.73(b) ➤ Official Letter to Draftsman ➤ Return Postcard
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Remarks

The Commissioner is authorized to charge any additional fees to  
Deposit Account 20-1430.

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

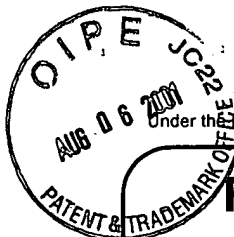
Firm and Individual name	Townsend and Townsend and Crew LLP Mark D. Barrish Reg. No. 36,443
Signature	
Date	3 AUGUST 2001

### CERTIFICATE OF MAILING

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PA 3160042 v3



# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete If Known

Application Number	09/827,076
Filing Date	April 5, 2001
First Named Inventor	EMPEDOCLES, STEPHEN A. ET AL.
Examiner Name	Unassigned
Group Art Unit	1645
Attorney Docket No.	019916-004300US

TOTAL AMOUNT OF PAYMENT (\$) 65

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
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20-1430

Deposit  
Account  
Name

Townsend and Townsend and Crew LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$)

### 2. EXTRA CLAIM FEES

			Extra Claims		Fee from below		Fee Paid
Total Claims		-20**	=		X		=
Independent Claims		-3**	=		X		=
Multiple Dependent					X		=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)65

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	MARK D. BARRISH	Registration No. (Attorney/Agent)	36,443	Telephone	650-326-2400
Signature		Date	3 AUGUST 2001		

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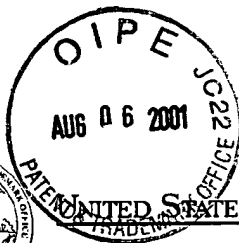


**RESPONSE TO NOTICE OF MISSING PARTS  
OF PATENT APPLICATION  
FILING ACKNOWLEDGMENT**

<b>Mailing Date:</b>	<b>3 AUGUST 2001</b>	<b>DUE DATE:</b>	<b>13 AUG 2001</b>
<b>File No.:</b>	19916-004300US (QDOT)	<b>Attorney:</b>	MDB:nap
<b>Inventor(s):</b>	EMPEDOCLES ET AL.	<b>Appl. No.</b>	09/827,076
<b>Title:</b>	<b>TWO-DIMENSIONAL SPECTRAL IMAGING SYSTEM</b>		

<input checked="" type="checkbox"/>	Transmittal Form (1 page)	Statement under 37 CFR 3.73(b)	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	Fee Transmittal (1 page)	Formal Drawings w/cover ltr. (11 pgs)	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	Declaration + ADS (4 pages)		
<input checked="" type="checkbox"/>	Assignment + Recordation Cover (3 pages)	Return Postcard	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	Power of Attorney by Assignee (1 page)		
<input checked="" type="checkbox"/>	Copy of PTO Form-PCT/DO/EO/905 (1 pg.)		

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/827,076	04/05/2001	Stephen A. Empedocles	19916004300

CONFIRMATION NO. 6626

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

## FORMALITIES LETTER



\*OC000000006177238\*

Date Mailed: 06/13/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

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*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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Washington, D.C. 20231

On 06 AUGUST 2001

TOWNSEND and TOWNSEND and CREW LLP

By: Nancy Pizzo

NANCY A. PIZZO

#3  
PATENT

Atty. Docket No.: 19916-004300

Client Ref. 0010D-US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

EMPEDOCLES, STEPHEN A. et al.

Application No.: 09/827,076

Filed: 5 April 2001

For: TWO-DIMENSIONAL SPECTRAL IMAGING  
SYSTEM

Examiner: Unassigned

Art Unit: 1645

**LETTER TO OFFICIAL  
DRAFTSPERSON**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant hereby submits 10 sheets with 29 formal drawings to be made of  
record in the above-identified case.

Respectfully submitted,

Mark D. Barrish

Mark D. Barrish

Reg. No. 36,443

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PA 3060081 v4